



IN THE UNITED STATES  
PATENT AND TRADEMARK OFFICE

RECEIVED

SEP 24 2004

Technology Center 2100

APPLICANT: Rodney Bennett  
SERIAL NO.: 09/788,113  
FILING DATE: February 16, 2001  
TITLE: System and Method for Automating the Assembly, Processing and Delivery of Documents  
EXAMINER: Chongshan Chen  
GROUP ART UNIT: 2172  
ATTY. DKT. NO.: 21532-04870

---

COMMISSIONER FOR PATENTS  
P.O. BOX 1450  
ALEXANDRIA, VA 22313-1450

**SUPPLEMENTAL DECLARATION OF RODNEY BENNETT**

I, Rodney Bennett, hereby declare the following:

1. I am the sole inventor of the invention described and claimed in United States Patent Application Number 09/788,113, entitled "System and Method for Automating the Assembly, Processing and Delivery of Documents," filed on February 16, 2001 (hereinafter "the Application"). The Application claims priority under 35 U.S.C. § 119(e) from the co-pending United States Provisional Application Number 60/182,839, filed on February 16, 2000 (hereinafter "the Provisional Application").

2. I am providing this supplemental declaration to establish documentary proof that the invention described and claimed in the Application was conceived prior to the December 17, 1999, the filing date of United States Patent 6,526,403 to Lin et al., issued February 25, 2003 (hereinafter "Lin"), and the invention was diligently reduced

to practice beginning prior to the filing date of Lin. The Examiner most recently cited Lin in the Office communication dated April 22, 2004.

3. I was employed by Real Consulting LLC on or before January 1995 to about August 2001. My title at Real Consulting LLC was software developer. Real Consulting has a place of business in Grass Valley, California and is the assignee of the Application.

4. On or before February 2, 1999, I conceived of the system and method for automating the assembly, processing, and delivery of documents that are described and claimed in the Application.

5. On February 19-22, 1999, I attended a confidential internal developer's conference (hereinafter "DevCon2"), where I described the NetTransport system to attendees of DevCon2, including the functionality that is the subject of the Application.

6. DevCon2 was a confidential internal developer's conference, at which various developers and programmers described in detail the projects each was working on at the time.

7. The attendees at DevCon2 included Kevin Steinke, Li Chen, and Ken Page, current employees of Real Consulting LLC; myself, R. Dan Ribb, Cookie Chan, and Richard Couch, employees of Real Consulting LLC at the time; John Wells, a consultant for Real Consulting LLC; and J. Dale Debber, CEO of Real Consulting LLC. An e-mail dated February 15, 1999 (hereinafter "February e-mail") to all anticipated attendees of DevCon2 detailing topics to be discussed, including the NetTransport system, details the list of attendees. The February e-mail was retrieved from the Real Consulting LLC e-mail archives by Jerry Rufener. Jerry Rufener is contractor with

Real Consulting LLC bound under confidentiality agreement. A copy of the February e-mail is attached hereto as EXHIBIT A.

8. During DevCon2, I disclosed completely to the other attendees at DevCon2 my conception of the NetTransport system for automating the assembly, processing, and delivery of documents.

To the best of my recollection and as nearly as possible in the language I used, the information disclosed during DevCon2 regarding NetTransport, the claimed invention, included the following. My disclosure focused on solving two important issues regarding how another software application produces and delivers readable output and how projects under development are pushed to production environments consistently and with little human intervention. Li Chen, who developed the other software application, spoke of a need to fax documents initiated by the client computers located in the field and utilize a central faxing server located at the data source in Grass Valley. I suggested using NetTransport, which runs as a 24x7 NT service [twenty-four hours per day, seven days per week, using Microsoft's 32-bit "NT" technology] and developing a COM DLL [Component Object Methodology – Dynamic Loading Library] that would monitor a database looking for faxing requests.

Accordingly, I explained that once the request was discovered by the COM DLL, the library (DLL) would pass the request to a transport object, located in NetTransport, to a machine running yet another copy of NetTransport where the rendering of the request would actually take place. The reasoning for separate machines to read the request and render the output as I explained it and as was discussed by the DevCon2 Attendees, was one of efficiency and CPU utilization. I noted that this would prevent overloading the

machine that serves the client computers in the field and utilize another machine dedicated to the task of rendering.

Per this disclosure at DevCon2, Li Chen, Mr. Ribb, and I discussed that we could accomplish many other tasks using this simple arrangement of NetTransport as the backbone and developer-supplied COM objects as the workers in the process. Further, per my disclosure of watching for a requests and then transporting the request to a machine that could perform the rendering of the request, the result was that I had conceived of a way of not only faxing documents, but also of producing electronic documents, such as in a portable document format (PDF) from Adobe Systems of San Jose, CA, and emailing the results to end points.

A recording of the minutes of DevCon2 memorializing the development of the software for the NetTransport System, entitled DevCon2 is attached hereto as EXHIBIT B.

9. From that time until the filing of the Provisional Application on February 16, 2000, I diligently worked on writing the software that implements the NetTransport system and method for automating the assembly, processing, and delivery of documents that are described and claimed in the Application. On that date, the system actually existed and worked for its intended use.

10. Accordingly, I conceived the invention described and claimed by the Application prior to the application date of Lin and exercised diligence in reducing the invention to practice at least up to the filing date of Lin, December 17, 1999.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further

that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

8-9-04  
Date

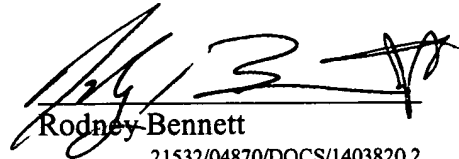
  
Rodney Bennett  
21532/04870/DOCS/1403820.2

EXHIBIT A

H:\199901\106\J\_Dale\_Debber\in\19990215174750375.AAA129@addw111  
Return-Path: <jon@ridgecomm.com>  
Received: from addw111 ([207.223.69.200]) by dccms5.earthmail.com  
(Post.Office MTA v3.1.2 release (PO205-101c)  
ID# 0-44629U5000L500S0) with SMTP id AAA129;  
Mon, 15 Feb 1999 09:47:50 -0800  
Reply-To: <jon@ridgecomm.com>  
From: "jon wells" <jon@ridgecomm.com>  
To: "Dale Debber (E-mail)" <creator@content.com>,  
"Dan Ribb (E-mail)" <dribb@earthmail.com>,  
"Li Chen (E-mail)" <lichen@gte.net>,  
"Rodney (E-mail)" <rbennett@earthmail.com>  
Cc: "Dave J Ribb (E-mail)" <djribb@earthmail.com>,  
"John Aurelius (E-mail)" <jaurel@ix.netcom.com>,  
"Ken Page Earthmail (E-mail)" <kpage@earthmail.com>,  
"Kevin Steinke (E-mail)" <KSteinke@earthmail.com>,  
"Rich Couch (E-mail)" <rich@rcit.com>,  
"Zack Laferriere (E-mail)" <zack@earthmail.com>,  
"cookie'" <cchan@earthmail.com>  
Subject: devcon2 submissions  
Date: Mon, 15 Feb 1999 09:48:01 -0800  
Message-ID: <000d01be590b\$54dfad90\$6f01650a@addw111.Sphincter.com>  
MIME-Version: 1.0  
Content-Type: text/plain;  
charset="iso-8859-1"  
Content-Transfer-Encoding: 8bit  
X-Priority: 3 (Normal)  
X-MSMail-Priority: Normal  
X-Mailer: Microsoft Outlook 8.5, Build 4.71.2173.0  
Importance: Normal  
X-MimeOLE: Produced By Microsoft MimeOLE V4.72.2106.4

Hi,

Last Call for submissions to DevCon2.  
everyone is pretty much looking to the same items.  
Tomorrow I will come up with a draft on time & agenda item so we can get  
an idea of structure and timing.

If you don't see it then make sure i know about it.

tanks

Jon Wells.....  
here tis

Agenda Items for the 2nd Developers conference  
DevCon2  
2/18/99 à 2/22/99  
Suggested Agenda Items::

Dan Ribb

Approved dev tools and versions/patches of those tools. - VERY HOT ITEM

MTS Security - how, why, when and who

SQL Mail

SQL 7.0

3 tier development - how, why, when

Rapids 32

Kevin Steinke

1. OTIS - Problem description is too minimal. We need to have and know the system (or flow) of how the anomaly tracks through otis. Who maintains the anomaly. I have no way of making any updates to the anomaly (except the description, but most of the time its already a maxed out description.)

2. Project Management - I'd like to see a pipeline (or scheduling) of items that I am going to be working on.

3. MTS - Transaction server. Are we implementing it? If so Can we get some background on how were using it.

4. Of course SQL 7 - Our savior!

5. Rapids Reports - Any new ones? Do they like what was given them so far?

Li Chen

I think we should upgrade to 7.0 prior to Rapids 32. This allows us to optimize the code for SQL 7.0. We don't want to optimize the code for 6.5 and then upgrade to 7.0 and change all the code again. There are two important 7.0 benefit:

1) varchar in 6.5 is limited to 256 byte and is 8K in 7.0. This allows us to store almost all memo field as varchar instead of text field with 7.0. It is much easier to work with a varchar field because we have to do pointer manipulation with a text field.

2) Sql 7.0 query optimizer can optimize embedded SQL statement in the middle-tier while 6.5 cannot. This will be important when we move to the three-tire architecture.

Rodney Bennett

1. Care and feeding of Microsoft Transaction Server

2. NetTransport i.e. Fax, Mail and Print services, how it works and where its located

3. SQL 7.0 when and where as it relates to Contelligence

Jon Wells

1. Rapids32

2. SQL 7.n0

3. Tools & progress since the Fall Developers conference.

4. Newsopoly Architecture.

5. Grins & Groans from the CEO.

6. Project summaries for Compline, Rapids, Contelligence, Newsopoly, 'OTIS"

7. Our Six month event horizon.....

8. Colo

9. New Applications tools operational paradigm review.

How do we quickly & Succinctly determine, VB from SQL from transvr from network from rodneys email from faxsvr. Need a set of web pages to debug

the app runtime and quick ways to determine fix.  
10. SCIF Broker Tables moving into rapids.

Dale Debber

1. Rapids32
2. SQL 7.n0.
3. Otis
4. Fresno Office
5. Project Status / Rapids, Compline,Contelligence,Tools,ScifBkr/WCIS,  
NewBiz.
6. Timekeeper issues
7. VPN issues
8. DEV / QA / Prod Sync & Otis link.
9. Three tiered development.. cost / enviornment / Rapid App Design.

No Submittals so far

Cookie Chan  
John Aurelius  
Zack  
David J Ribb  
Richard Couch  
Ken Page

21532/04870/DOCS/1403821.1



**EXHIBIT B**

**DEVCON 2**

*Friday 2/19/99 – Monday 2/22/99*

*Friday, 2/19/99*

**Overview of company activities, business (Dale Debber)**

**TimeKeeper - (Dale Debber)**

Kevin will be developing enhanced reporting capabilities

Very important to break out hours to proper categories because of client billing

Be as descriptive as possible

To be linked to OTIS

**Project Definitions – (Jon Wells)**

**Rapids**

How SCIF tracks status of policies

TopCat for territorial clearances

PreApp tracks routing of policies

NewBiz transfer database

Brokers

Mailings

(is 16-bit now, roll-out to all districts to become 32-bit)

**Compline**

Provides Xmods to brokers who write W/C

**Contelligence**

The "Compline" for licensed contractors in CA

SCIF has requested this

Will integrate with other products

**Newsopoly**

Allows publishers to put up ecommerce/pay-per-view

Mass distribution of content

**OTIS**

Now used to track anomalies

Task management  
A new class of business management software

**Verify**

Checks SS #s for deaths, validity

**Management Issues (Dale)**

Visual Source Safe to include specs for all projects  
Issue of SQL area/source discussed

**! AI** Dan will develop spec for document standard  
3<sup>rd</sup> party DLLs  
Build/install process and material list

**Colocation** in San Jose (8x8 cage); also in DC

**Fresno Office**

Operational Tue or Wed 2/23, 2/24  
Jon will be present for Pac Bell

**New Personnel**

Forest Cox, Cookie Chan, John Aurelius, Sharon O'Donohough

**Developer responsible for each tool used (Dale Debber)**

Version current  
Will be on email list for updates from vendor  
"Center of excellence" for that tool  
Inventory of tools needed  
It is OK to use non-MS products  
Focus on saving time

**Server Issues (Jon Wells)**

New permissions will be in effect  
How much will server/domain name affect app?  
Standard server configuration and app build procedure

**Intellectual Properties**

Patents/copyrights to be documented  
"First to conceive" concept is important

**! AI** 800 number dial-in line needed

No compelling reason to go to JAVA

**Tool standardization (Dan Ribb)**

Problem is different versions of app tools, different DLLs on server

**! AI** Identify levels of SW for each product (ervice pack version)

**Discussion of Dev PCs**

No beta versions

3<sup>rd</sup> party SW to be reviewed before use

Compile on clean "Buildmaster PC" from SourceSafe to QA

**! AI** Investigate SW that keeps inventory of DLLs

**! AI** Li Chen will get Visual SourceSafe versioning procedure right  
Standard tools on Dev PCs - VS 6.0, SP2 is now the standard  
Clean "Build PC" (Rodney has had experience with county)

**! AI** We are moving to SQL 7.  
So far, Li's testing OK; needs more testing and implementation

**! AI** Dan is to receive all 3<sup>rd</sup> party tools by Friday 2/26/99

**! AI** Rodney will get "language" of of SCIF project special modules to Dale for SCIF ownership

**! AI** Dan will investigate shared directories in Visual SourceSafe.

**! AI** Each "POD" manager will look into variable naming standard

**Books recommended by Li Chen**

"Inside Comm" by Dale Rogerson

"Distributed Components with VB" by Pattison

Hijaak or other "BMP to JPG/GIF" converter for Don Butler

*Saturday, 2/20/99*

**Compline (Dan Ribb)**

Over half the feature set included in last year's release

MS Exchange has had network problems

Driven by ASP and stored procedures

Browser independent

RiskList queries can take time (5 minutes or more); maybe execute like

ModWatch

Wait until SQL 7.0 to review RiskList procedures  
ModWatch email notification feature  
Log file of user activity on Dev  
User traffic very important since future sites will be advertising-based  
WebTrends SW can produce most reports  
Login is machine-specific and will move to prod

**! AI** Testing on security issues on next push  
Push button for "CompNews.htm" so Dale can put news content on Compline screen

**! AI** Admin features ready to push (with Muni edit)  
Close to automatic update push

**! AI** 1:30 pm Friday 2/26/99 deadline for update, or email storm!

**! AI** Every tape must have file comparison done  
Dan will compile all loose specs on this subject, Type-5 issues  
Separate method to process Type-5's

**! AI** Service bureau (MCRB) to read old tapes per Jon's specs

Verify (Rodney)  
Have all components, uses same security as Compline  
There has been some activity  
Banner rotation  
Web Trends logs have been kept

Contelligence (Rodney)  
Data model, specs done, peer review  
Billable to SCIF  
Need for common procedures and definitions (Enterprise object)  
Revenue to be by usage

**! AI** Rodney to get MS spec for database compliance

#### Three-Tier Object Model

VB Abstracts send to common delegate, then to UDM that talks to Server  
Issues:

Points of failure  
Updates

New layer  
Code re-use

### **Rapids 32 (Li Chen)**

#### **16 bit VB 4 talking to SQL server**

Business rules on VB side or in Stored Procedures

TCP/IP protocol, using 1433 port

PreApp runs inside browser, using http, talking to IIS server

#### **32-Bit version:**

Communicates with Business Object

BO talks to SQL server

3-Tier allows better code

RDS (Remote Data Service), DCOM are new MS products  
more closely tied to Windows security features

IIS4 and RDS Proxy used

RapidsRDFDataFactory allows security

We know there's a problem before the client knows

#### **The ugly side:**

(1) Terms letter preview (MS Word, vs previewer)

(2) Crystal Reports is banned

### **NetTransport (Rodney)**

NT service that generates and transports the document as RTF (rich text format)

May be used to:

Replace SQL mail and its problems

Be a fax solution

### **! AI When to implement for SCIF**

### **WCIS/Broker Database (SCIF)**

Oracle-based for outside broker business generation/commissions

Multiple entry into numerous databases (Access, Rapids, etc.)

Proposed new database will be central point for all users

*Sunday, 2/21/99*

### **Network/server issues (Jon Wells)**

Single-tiered firewall:  
Multiple IIS servers  
SQL server must reside behind the firewall

**Newsopoly (John Aurelius)**

3 Areas:

Reader  
User (publisher)  
SysAdmin & support

Internet Search Engine issues need research, clarification and testing

SQL 7 will likely resolve many issues

**! AI** John Aurelius will find an internet search engine consultant

Dale points out that hardware costs are likely to be small compared to the revenue generated from thousands of Newsopoly publishers.

Third-party Credit Card/Search Engine/Forum software will be considered.

Overwrites of images should not be allowed; customer service handle it.

**MTS Security (Dan Ribb)**

**! AI** Will formalize business object sharing/documentation  
Try to avoid duplication of effort...POD managers to communicate  
John A. to get ALAIR forums running

**! AI** Li Chen to install Visual Component Manager and related components

UML (programmer documentation language)

**! AI** Dan to create documentation standards for documentation for SCIF.

**! AI** Within a few days of push to PROD, "how-to's" must be pushed. (Quick Courses)

**! AI** Get Lads to create Quick Courses for Rapids

**! AI** Need Index Server issues on OTIS!

**SQL 7.0 implementation plan:**

Reindexing will be time-consuming

Backup needs testing  
Jon W. will coordinate

**Y2K Issues (Rich Couch)**

Three dates with impact: 9/9/99, 1/1/2000, 4/1/2000

**! AI** Ken to coordinate with John Aurelius on mm/dd/ccyy format

**Assignments for Dev Tools: (Affectionado)**

VB - Li Chen

Crystal Reports - New review by Dan

InstallShield - Rich Couch

Truegrid Pro - Li

Spyworks - Li

Crescent QuickPack Pro 4 upgrade - Li (share with John Aurelius)

VB SourceBook - (to buy) Li

Cold Fusion (by Alair) - John Aurelius

O'Reilly Web Board - to be evaluated by John Aurelius

**Suggestions:**

Status of servers (Rich Couch)

Working at home - Laptops may eventually help solve this

**! AI** Ken to begin using OTIS to track projects

MS Project Manager discussed and it was determined that overhead involved with implementing would be too great.

Network shutdowns are usually very brief.

**Certification:**

Li needs to informed of everyone's current status

All developers are "encouraged" to be certified

**! AI** Dale to appoint Project Managers & PM's to schedule meetings

**! AI** Jon W. to buy Resource Kit (if any) for SQL 7

*Monday, 2/22/99*

**Personnel Priorities:**

Organizational Chart to be done soon.

**Jukebox pros & cons**

**Alternatives -**

DVD

Old PCs with multiple CDs

Contents on large network hard drive

**! AI** Li Chen will inform us on how to logon with MS Solution Provider

Dan Ribb suggested having some alternative database/unix servers to test.

Discussion on need for middle-tier non-MS databases. Dale does not want developer resources invested in non-MS database compatibility. If they work incidentally, great!

**Conclusion:** On internal projects (Rapids, Compline, Verify, Contelligence) consideration to optimize MS SQL 7 capabilities. OTIS and Newsopoly should be written with Level 2 compatibility in mind. Stay with 3-tier for its other benefits.

**NT 5.0 Considerations: (jw)**

Suggest putting up an NT 5.0 server for testing

Likely to need to upgrade in 1 to 2 years

**Proposed Devcon 3**

Thursday 5/20 or 6/3; possibly Monterey area.

**SQL 7 Task Team:**

Licensing more of an issue (per seat) with SQL 7.0

**! AI** Li will check with MS on licensing and what we get as solution providers

**! AI** Jon will establish timetable for SQL 7 switchover (Prod, SCIF, Compline)